

RECEIVED

STATEMENT OF DISCLOSURE OF INTERESTS
GOVERNOR/GOVERNOR'S CABINET/CABINET LEVEL STAFF/
CONSTITUTIONAL OFFICERS/GENERAL ASSEMBLY MEMBERS

2007 APR 16 AM 9:52

INSTRUCTIONS: This form is for reporting all interests required to be disclosed under the Conflict of Interest Disclosure Act (T.C.A. §§ 8-50-501 et seq., 2-10-128 and 2-10-129). Statements of Disclosure of Interests must be filed annually by April 15 with the Tennessee Ethics Commission, 201 4th Avenue North, Suite 1820, Nashville, TN 37243. If you have questions, please feel free to contact the Commission at (615) 253-8634 or e-mail us at ethics.counsel@state.tn.us. You must complete items 1-6. If there were no changes in items 7-13 since the previous report, you may check the box in item 14; otherwise, you must complete items 7-13. Disclosure statements must be signed and the signature attested to by a witness in item 15. Attach additional pages as necessary. Please note that the information listed on this statement will be posted on the Commission's website as required by T.C.A. §§ 2-10-128(b), 2-10-129(b) and 8-50-501(d)(1).

NOTE: An amended Statement of Disclosure of Interests must be filed whenever reported conditions change due to the termination or acquisition of any interests for which disclosure is required by law.

1. DATE OF DISCLOSURE

Apr. 12, 2007

2. NAME OF OFFICIAL AND TITLE/POSITION

Dale Sims ; State Treasurer

3. ADDRESS Street or Rural Route

City

State Zip Code

1436 Holly Hill Dr.; Franklin, TN 37064

3a. PHONE NUMBER 615-741-2956

4. SOURCES OF INCOME

a. List major source(s) of private income of more than \$200 for yourself and your spouse. For purposes of this provision, income shall be reported for the calendar year in which it is received. "Major sources of private income" include, but are not limited to, offices, directorships and salaried employment. No dollar amounts need to be stated; however, you must list the name and address of each source of income, except for sources of income received from a security listed on the New York Stock Exchange, American Stock Exchange or NASDAQ or from income received from investments with a federal or state chartered bank. You may list only the name of the entity. For income derived from the ownership of a business enterprise's securities, you may list the name of the enterprise in lieu of any investment brokerage firm or other fiduciary that may possess or manage the securities on your or your spouse's behalf. For income derived from a mutual fund, you may list the name of the mutual fund in lieu of the business enterprise securities owned by the mutual fund. You are not required to disclose any client list or customer list, or to list the address of any investment property.

Self: Tennessee Treasury Dept.; First Floor State Capitol; Nashville 37243
Spouse: Blue Cross Blue Shield of TN; 801 Pine Street; Chattanooga 37402
Joint:
Bank of America (checking & money market acc'ts)
Southern Financial Federal Credit Union (savings acct)
BCBST Employees Credit Union (Savings acct)

b. List major source(s) of private income of more than \$1,000 of any minor child residing with you. No dollar amounts need be stated.

None

5. POSITIONS HELD: List any position held including, but not limited to, officer, director, trustee, general partner, proprietor, or representative of any corporation, firm, partnership, business enterprise, non-profit organization or educational institution. Both the month and year must be reported for the period of time the position was held. Positions with the federal government, religious, social, fraternal or political entities, and those solely of an honorary nature, do not require disclosure.

Name of Organization

Position Held

Date Held

See attached listing (4 pages)

6. BLIND TRUST: For any trust considered to be a blind trust pursuant to T.C.A. § 35-50-120 in which you or your spouse is an interested party, identify the nature of the interest and list the location of the trust and the name and address of the Trustee. No individual asset held in such a blind trust need be disclosed.

None

7. INVESTMENTS: List any investment by you, your spouse or minor children residing with you in any corporation or other business organization in excess of ten thousand dollars (\$10,000) or five percent (5%) of the total capital. The name of the corporation or organization must be listed but no dollar amounts or percentages of the investment need be stated.

Self: mutual fund investments through state of Tennessee deferred compensation program (401K)

Spouse: mutual fund investments through Blue Cross Blue Shield deferred compensation program (401K)

8. LEGISLATIVE EXPENSES: List the amount and source (by name) of any contribution from private source(s) used for defraying the expenses related to the adequate performance of your legislative duties.

None

9. LOBBYING: List any person, firm or organization for whom any associate, your spouse, or minor children residing with you performs compensated lobbying services. Also, list any firm engaged in compensated lobbying in which you, your spouse or minor children residing with you hold any interest. Explain the terms of any such employment, the subject matters lobbied and/or the measures to be supported or opposed.

None

10. **PROFESSIONAL SERVICES:** List in general terms (by areas of the client's interests) the entities to which professional services, such as those of an attorney, accountant or architect, are furnished by you or your spouse.

Self: none

Spouse: insurance services provided to various clients thru her employer (BCBST).
Clients include: Metro Gov't Benefits Board; Metro Teachers Plan;
Nissan USA

11. **RETAINER FEES:** List any retainer fee you receive from any person, firm or organization which is in the practice of promoting or opposing, influencing or attempting to influence, directly or indirectly, the passage or defeat of any legislation before the Tennessee General Assembly, its legislative committees or the members thereof.

None

12. **BANKRUPTCY:** List any adjudication of bankruptcy or discharge received in any United States district court within five (5) years of the date of this report.

None

13. **LOANS:** List any loan or combination of loans for more than one thousand dollars (\$1,000) from the same source made in the previous calendar year to you, your spouse or minor children residing with you. Loans need not be disclosed on this report if they are:

- (1) From your immediate family (spouse, parent, sibling or child);
- (2) From a federally insured financial institution or made in accordance with existing law in the ordinary course of doing business of making loans. The loan must bear the usual and customary rate of interest, be made on a basis which assures repayment, evidenced by a written instrument and subject to a due date or amortization schedule;
- (3) Secured by a recorded security interest in collateral, bearing the usual and customary interest rate of the lender made on a basis which assures repayment; evidenced by a written instrument and subject to a due date or amortization schedule;
- (4) From a partnership in which you have at least ten percent (10%) partnership interest;
- (5) From a corporation in which more than fifty percent (50%) of the outstanding voting shares are owned by you or by your immediate family (spouse, parent, sibling or child).

None

14. **NO CHANGES IN ITEMS 7-13 (Check if applicable):**

☐ There has been no change in the conditions listed in Items 7 - 13 since my previous report to the Tennessee Ethics Commission.

15. TO BE SIGNED BY REPORTING OFFICIAL (must be attested to by a witness)

I certify that the information contained in this disclosure statement is true and that it is a complete and accurate report as required by the Conflict of Interest Disclosure Act.

Dale Sim Apr. 12, 2007
Signature of Official Date

I, the undersigned, do hereby witness the above signature which was signed in my presence.

Rhonda J. Myers April 12, 2007
Signature of Witness Date

Rhonda J. Myers
Name of Witness (Printed)



SS-8004

**STATEMENT OF INTERESTS
RESPONSE TO QUESTION #6**

DATE OF DISCLOSURE
April 10, 2007

NAME OF OFFICIAL OR CANDIDATE
Dale Sims, State Treasurer

6. POSITIONS HELD: List any position held including, but not limited to, officer, director, trustee, general partner, proprietor, or representative of any corporation, firm partnership, business enterprise, non-profit organization or educational institution. Both the month and year must be reported for the period of time the position was held. Positions with the federal government, religious, social, fraternal, or political entities, and those solely of an honorary nature do not require disclosure.

Positions Held by Virtue of State Statute

<i>Name of Organization</i>	<i>Position Held</i>	<i>Date Held</i>	<i>Statutory Reference</i>
Advisory Council on Workers' Compensation	Chair	October 2003 to Present	T.C.A. § 50-6-121
Baccalaureate Education System Trust Board	Chair	October 2003 to Present	T.C.A. § 49-7-804
Collateral Pool Board	Secretary	October 2003 to Present	T.C.A. § 9-4-506
Board of Claims	Chair	October 2003 to Present	T.C.A. § 9-8-101
State Board of Equalization	Member	October 2003 to Present	T.C.A. § 4-3-5101
Tennessee Consolidated Retirement System Board of Trustees	Chair	October 2003 to Present	T.C.A. § 8-34-302
Chairs of Excellence Endowment Trust	Chair	October 2003 to Present	T.C.A. § 49-7-501
Commission to Purchase Surplus Federal Property	Member	October 2003 to Present	T.C.A. § 12-1-103
Council on Pensions & Insurance	Non-voting Member	October 2003 to Present	T.C.A. § 3-9-101
State Funding Board	Member	October 2003 to Present	T.C.A. § 9-9-101

<i>Name of Organization</i>	<i>Position Held</i>	<i>Date Held</i>	<i>Statutory Reference</i>
Public Records Commission	Member	October 2003 to Present	T.C.A. § 10-7-302
Sick Leave Bank Board	Member	October 2003 to Present	T.C.A. § 8-50-903
State Building Commission	Member	October 2003 to Present	T.C.A. § 4-15-101
State Capitol Commission	Member	October 2003 to Present	T.C.A. § 4-8-301
State Insurance Committee	Member	October 2003 to Present	T.C.A. § 8-27-101
Local Government Insurance Committee	Member	October 2003 to Present	T.C.A. § 8-27-207
Local Education Insurance Committee	Member	October 2003 to Present	T.C.A. § 8-27-301
State Library and Archives Management Board	Member	October 2003 to Present	T.C.A. § 10-1-102
Tennessee State School Bond Authority	Member	October 2003 to Present	T.C.A. § 49-3-1204
State Trust of Tennessee	Chair	October 2003 to Present	T.C.A. § 9-4-806
Tennessee Child Care Facilities Corporation Board	Treasurer	October 2003 to Present	T.C.A. § 4-37-103
Tennessee Higher Education Commission	Member	October 2003 to Present	T.C.A. § 49-7-204
Tennessee Housing Development Agency	Treasurer	October 2003 to Present	T.C.A. § 13-23-106
Bond Finance Committee of Tennessee Housing Development Agency	Member	October 2003 to Present	T.C.A. § 13-23-120
Tennessee Local Development Authority	Member	October 2003 to Present	T.C.A. § 4-31-103
Tennessee Sports Hall of Fame	Director & Exec. Committee	October 2003 to Present	T.C.A. § 4-3-5403

<i>Name of Organization</i>	<i>Position Held</i>	<i>Date Held</i>	<i>Statutory Reference</i>
Tennessee Student Assistance Corporation	Director	October 2003 to Present	T.C.A. § 49-4-202
Tuition Guaranty Fund Board	Chair	October 2003 to Present	T.C.A. § 49-7-2018
Workers Compensation Insurance Fund Board	Director	October 2003 to Present	T.C.A. § 50-6-604
Review Committee to the Workers Compensation Insurance Fund Board	Member	October 2003 to Present	T.C.A. § 50-6-623.
Victims of Crime State Coordinating Council	Member	October 2003 to Present	T.C.A. § 40-38-401
Catastrophic Injuries Fund Commission	Chair	October 2003 to Present	T.C.A. § 29-20-408
Industrial Finance Corporation Board	Director	October 2003 to Present	T.C.A. § 4-17-405
Bond Finance Committee of Industrial Finance Corporation	Chair	October 2003 to Present	T.C.A. § 4-17-407
Tennessee Industrial Development Authority	Member	October 2003 to Present	T.C.A. § 13-16-301
Advisory Committee to the Trustees of the Fisk University Stieglitz Collection Art Endowment Fund	Chair	October 2003 to Present	T.C.A. § 4-20-201
Access Improvement Project Committee	Chair	October 2003 to Present	T.C.A. § 54-2-207
Advisory Board to Establish Compensation for the Use of the Right-of-Way for Underground Fiber Optic Cable Facilities	Member	October 2003 to Present	T.C.A. § 54-16-112
Appeals from Gift Tax Appraisals Board	Member	October 2003 to Present	T.C.A. § 67-8-116

Positions Held by Virtue of Office

<i>Name of Organization</i>	<i>Position Held</i>	<i>Date Held</i>
National Association of State Treasurers	Member	10/03 to Present
	Chair, Long Range Planning Committee	12/06 to Present
National Association of State Auditors, Comptrollers and Treasurers	Member	10/03 to Present
	Executive Committee	12/05 to Present

Other Applicable Positions

<i>Name of Organization</i>	<i>Position Held</i>	<i>Date Held</i>
Tennessee Parks and Greenways Board	Director	10/03 to Present